



PATENT  
Docket No. 220002057125  
Client Reference No. 94-161-9

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

H. Kirk HAMMOND et al.

Serial No.: 09/847,936

Filing Date: May 3, 2001

For: TECHNIQUES AND COMPOSITIONS  
FOR TREATING CARDIOVASCULAR  
DISEASE BY *IN VIVO* GENE  
DELIVERY

Examiner: To Be Assigned

Group Art Unit: 1646

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PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY  
UNDER 37 C.F.R. § 3.71

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of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71  
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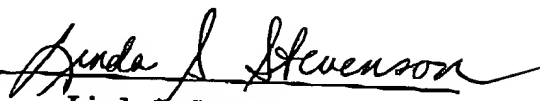
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Please direct all telephone communications to Catherine M. Polizzi at (650) 813-5651.

The Regents of the University of California  
a California corporation

Dated: February 21, 2002

  
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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: M. Kirk HAMMOND et al.  
Application No./Patent No.: 09/347,936  
Filed/Issue Date: May 3, 2001  
Entitled: TECHNIQUES AND COMPOSITIONS FOR TREATING CARDIOVASCULAR DISEASE BY IN VIVO  
GENE DELIVERY  
The Regents of the University of California, a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.  
(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Feb 21, 2002  
Date

Linda S. Stevenson  
Signature

Manager, Patent Prosecution  
Title

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Attorney Docket No.: 220002057125  
Client Reference: 94-161-9

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## ASSIGNMENT

U.C. Case No.: 94-161-9

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. H. Kirk Hammond; 9537 La Jolla Farms Road, La Jolla, CA 92037
2. Wolfgang Dillmann, 355 S. Nardo, Solano Beach, CA 92075
3. Frank Giordano, 412 Bartlett Drive, Madison, CT 06443

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

### TECHNIQUES AND COMPOSITIONS FOR TREATING CARDIOVASCULAR DISEASE BY IN VIVO GENE DELIVERY

and which is found in

- (a) U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) U.S. patent application filed herewith and listing the above named persons as inventors
- (c) ☒ U.S. application serial no. 09/847,936, filed on May 3, 2001
- (d) U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

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ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

\_\_\_\_\_ day of \_\_\_\_\_, 2002

19 day of Feb., 2002

\_\_\_\_\_ day of \_\_\_\_\_, 2002

Signature of Inventor(s)

\_\_\_\_\_  
H. Kirk Hammond

W. Dillmann  
Wolfgang Dillmann

\_\_\_\_\_  
Frank Giordano

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